



LANL – UCSB Collaborative Research Program 2002 Call for Proposals

Proposal Deadline: August 1, 2002

PURPOSE

Los Alamos National Laboratory (LANL or Laboratory) and the University of California, Santa Barbara (UCSB or Campus) wish to strengthen interactions in fundamental areas of importance to both institutions. This collaborative research program—which is covered under a Cooperative Agreement for Research and Education (CARE) between LANL and UCSB dated October 2001—will allow both institutions to build on present areas of mutual expertise in directions that reflect the Campus's academic vision and are strategically significant to the Laboratory. This Request for Proposals, which is part of a broader set of opportunities under the Cooperative Agreement, would fund joint research projects between LANL and UCSB researchers and students. Major goals are to provide solutions to scientific and technological challenges and enhance the broad technical education of students in both academic and national laboratory settings.

PROGRAM DESCRIPTION

Los Alamos and UCSB have initially identified three research areas that will be supported. A Campus Principal Investigator (CPI) and a LANL Principal Investigator (LPI) may jointly propose a research project in one of the following Strategic Focus Areas:

- **Astrophysics**
- **Environmental Sciences**
- **Materials Science**

The points of contact and facilitators for this program are the UCSB Vice Chancellor for Research and LANL UC Coordination Team Leader. The joint UCSB-LANL Steering Committee for CARE will oversee the implementation of CARE and will conduct periodic program reviews to recommend new strategic areas for collaboration. All work performed under this collaborative research program will be unclassified.

ELIGIBILITY

UCSB faculty and researchers who are eligible for Principal Investigator status may seek funding under this program.

FUNDING

Funds will be available through the University of California Directed Research and Development (UCDRD) program or other funding sources yet to be identified. Approximately \$780,000 is available annually for an initial five-year period for LANL-UCSB CARE activities. Contingent upon the availability of funds and subject to approval by the respective institutions, LANL and UCSB will contribute approximately \$500,000 annually for the period October 1, 2001 through September 30, 2006 to fund Collaborative Research Projects. Renewal of this program beyond five years is dependent upon availability of funds.

To enhance interactions between UCSB faculty and LANL staff scientists, and provide opportunities for interactions among faculty and their students, support is available to fund collaborative research projects. This program will provide support for projects that clearly merge and enhance research between the two institutions and that are related to topics in the three strategic focus areas. Under separate award mechanisms, CARE will support other collaborative activities, including: (1) **Graduate Student Fellowships** for residencies at LANL; (2) **Workshops** to shape the direction of future CARE RFPs; and (3) **Travel Grants**. Please refer to http://stb.lanl.gov/UC/UCDRD/LANL_UCSB_RFP.html for information regarding these activities.

AWARD MECHANISM

Collaborative Research Project Awards: The proposed research should be collaborative and should build upon the complementary capabilities and research facilities of LANL and UCSB. A new proposal should describe work to be performed for a period not to exceed one year. Continuation of projects beyond the first year will be contingent on the demonstration of progress and necessity. Funding for the 2002 cycle will provide approximately \$500,000. An estimated \$50,000 each for 12 months will be available for one-to-one CPI/LPI collaborations; multi-investigator collaboration awards will range up to \$100,000 each for 12 months. Proposals shall provide significant opportunities for student and postdoctoral involvement. These pilot awards are not intended to be a source of continuing support; it is expected that successful projects will seek extramural funding or will be supported through ongoing LANL divisional programs.

APPLICATION PROCEDURES

The proposals should include:

- ☒ **Cover Page**, available from the UCSB Office of Research (http://research.ucsb.edu/connect/res/care_home.shtml) or funding@omni.ucsb.edu or 805/893-8891 or from the LANL website at http://stb.lanl.gov/UC/UCDRD/LANL_UCSB_RFP.html
- ☒ **Project Summary**, suitable for publication (not to exceed 200 words). This should be a self-contained description of the proposed activity.
- ☒ **Description of the research project**, up to five (5) single-spaced pages. The type size should be clear and legible, in standard 11- or 12-point type with one-inch margins on all sides.

The narrative should briefly describe the following:

- Background and rationale (research area background and rationale for proposed project).
- Research objective and goals.
- Technical impact.
- How the project fulfills the criteria set by the program (see criteria below).
- Research activities to be supported and plan of work.
- Anticipated outcome/results and significance.
- Role of each CPI and LPI in the project. How the joint research, communication, and exchange is going to be facilitated (e.g., by faculty visit(s) to LANL, by LANL staff visit(s) to UCSB, by students or postdoctoral scholars working on-site at LANL).
- Identified students who will participate.
- Other fund sources (whether funding is being leveraged by other sources).
- Capabilities at UCSB and LANL (include both relevant facilities and expertise).

☒ **List of References Cited**

☒ **Budget**

For this first Collaborative Research Project call, assume a period of performance from September 1, 2002, through August 31, 2003. Budget items should be aggregated into the following categories with separate columns for proposed UCSB and LANL expenditures (see sample budget attached):

- Salaries (e.g., faculty salary, graduate student researchers)
- Fringe Benefits (e.g., health insurance, Gship, tuition and fees)
- Equipment
- Travel
- Other Direct Costs (e.g., research expenses, supplies, materials, publication costs, and services)

Because UCDRD funds are University funds, they are deemed to be intramural; therefore, **no indirect costs are associated with these awards**. Awardees must comply with all University of California requirements regarding the expenditure of funds.

☒ **Budget Justification**, not to exceed one page.

☒ **Biographical Sketch**, for each principal investigator and co-PI (abbreviated, 2-page maximum).

☒ **Recommendations for reviewers**, submit the names and contact information for up to five potential reviewers.

SUBMISSION OF PROPOSALS

Proposals must be reviewed and endorsed by the UCSB Sponsored Projects Office prior to submission. The cover sheet must be scanned with appropriate Sponsored Projects' and CPI signatures prior to submitting the entire proposal electronically in PDF or Microsoft Word format to the UCDRD Program at LANL **no later than 5:00 pm, August 1, 2002**. Submit proposals to:

Debbie Wilke
STB-UC, MS M701
Los Alamos National Laboratory
Los Alamos, NM 87545
Email: dwilke@lanl.gov
Phone: 505-667-7824

No print copies of the proposal are necessary for LANL submission.

For proposal submission questions, please contact: Debbie Wilke, Program Manager, LANL, at the above address or Carla Whitacre, Director of Research Development, UCSB Office of Research (whitacre@omni.ucsb.edu or 805/893-3925).

PROPOSAL EVALUATION CRITERIA

Proposals will be evaluated for the:

- Relevance to identified strategic research area (see Program Description).
- Applicability to strategic mission of the Laboratory.
- Innovative character and intrinsic merit of the proposed research.
- Level of student research participation.
- Potential impact of proposed research (on the scientific field in general and on LANL and UCSB capabilities).
- Feasibility.
- Potential for sustainability, e.g., development of future funding.
- Qualifications, level of commitment of participants, and how proposed collaborative activities will enhance and mutually benefit LANL and UCSB.
- Adequacy of existing or planned facilities and other resources available.
- Justification of budget.

REVIEW PROCEDURES

The funds will be awarded to scientists at LANL and UCSB through a peer-reviewed selection process overseen by the Steering Committee composed of both LANL and UCSB representatives. The Committee will have final responsibility to decide on annual funding commitments for these collaborative research projects based on the potential for producing valuable scientific and technological innovations of mutual interest to both institutions. The process will ensure that the proposals meet all UC requirements, including the approval by the Campus Sponsored Projects Office.

The review committee will establish procedures to mitigate against conflicts of interest. Based on the above criteria, the review committee will recommend which proposals will be funded and the budget level for each proposal. The CPIs and LPIs will be notified of decisions by approximately September 1, 2002.

ANNUAL REPORT

A report on the research findings and progress of the project is required within 30 days after the project period. If additional funding is requested after the first year, the project report must be included in the competitive renewal request. Reports must be submitted to the UCSB Office of Research, Attn: Carla Whitacre, as well as the LANL UCDRD Coordination Office, Attn: Debbie Wilke.

FUTURE SOLICITATIONS

Future calls will be released annually.

TERMS AND CONDITIONS

The award terms and conditions (e.g., publication, intellectual property, indemnification) are references in the Cooperative Agreement between LANL and UCSB dated October 2001, available at http://stb.lanl.gov/UC/UCDRD/LANL_UCSB_RFP.html.



SAMPLE BUDGET

	<u>UCSB</u>	<u>LANL</u>	<u>TOTAL</u>
I. SALARIES (List All Names)			\$0
			\$0
TOTAL SALARIES	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
II. BENEFITS (Provide Breakdown)			\$0
			\$0
TOTAL BENEFITS	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
III. TRAVEL (Provide Breakdown)			
Campus/LANL (Round Trip)			\$0
Per diem (\$/# of days)			\$0
Vehicle rental/Ground Transportation			\$0
TOTAL TRAVEL	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
IV. EQUIPMENT (Provide Breakdown)			\$0
TOTAL EQUIPMENT	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
V. OTHER DIRECT COSTS (Provide Breakdown)			\$0
			\$0
TOTAL OTHER DIRECT COSTS	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
TOTAL PROJECT COSTS	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>